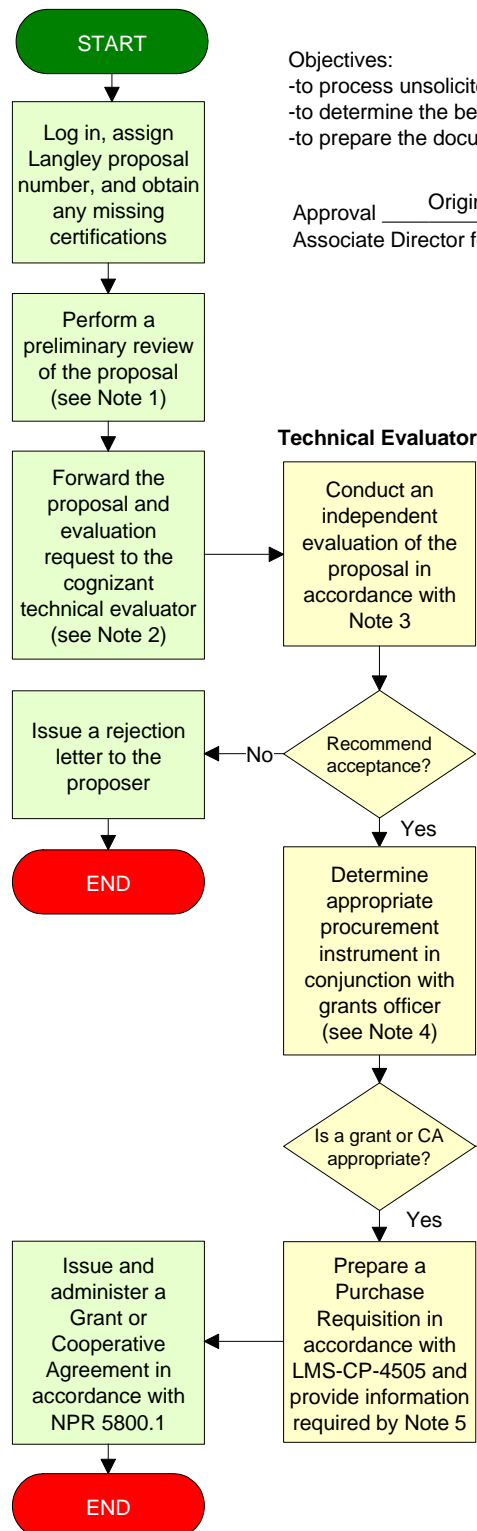


Office of Procurement

# RECEIPT AND EVALUATION OF UNSOLICITED PROPOSALS



## Objectives:

- to process unsolicited proposals
- to determine the best method for dispositioning unsolicited proposals
- to prepare the documentation required to issue awards

Approval \_\_\_\_\_ Original signed on file  
Associate Director for Business Management

## General Information

The following records are generated by this procedure and are maintained in accordance with CID 1440.7:

- Notice of Government-Provided Facilities and/or Computer Resources, LF P264
- Technical Submittal Form, LF P317
- Cooperative Agreement Special Condition, LF P317A
- C.A.S.E Report on College and University Projects, NF 1356

## General Note

If an unsolicited proposal is received by a federal employee at Langley Research Center other than the Office of Procurement, the proposal shall be forwarded to the Grants Officer at Mail Stop 126.

Guidance for the preparation and the submission of unsolicited proposals is available at web site <http://ec.msfc.nasa.gov/hq/library/unSol-Prop.html>

## Note 1

The Grants Officer is responsible for conducting a preliminary review of the unsolicited proposal to ensure that it meets the prescribed content given in FAR Part 15.605. Proposals not meeting the prescribed content will be returned to the offeror for resolution.

## Note 2

If the proposer does not identify a NASA technical employee as a point of contact, the Grants Officer will identify a suitable federal technical employee to evaluate the proposal or forward proposal to the Senior Scientist for evaluation.

## Contracting Officer

Conduct procurement following LMS-CP-4501

END

## Note 3

NASA Technical Evaluators are responsible for evaluating unsolicited proposals in accordance with FAR Part 15.6 and using the evaluation factors and criteria prescribed in FAR Part 15.606-2 and FAR Part 15.607. The FAR is available at <http://www.ARNet.gov/far/loadmainre.html>. By definition, unsolicited proposals allow unique and innovative ideas or approaches that have been developed outside the Government and are not the subject of a planned or pending solicitation.

## Note 4

This review is to evaluate the specific objectives of the proposal. A Grant or Cooperative Agreement (CA) is not appropriate if the proposal directly supports a NASA program or project, or if deliverables, other than technical reporting, are required. Similarly, a proposal that reflects a current or anticipated Government requirement cannot be considered for award as a Grant or Cooperative Agreement. Determine the appropriate instrument in accordance with NPR 5800.1, Grant and Cooperative Agreement Handbook, section 1260.12. The handbook is available at the following web site: <http://ec.msfc.nasa.gov/hq/grcover.htm>

## Note 5

The purpose of this note is to provide supplemental instruction and guidance to assist technical evaluators in the evaluation of unsolicited proposals received at LaRC. In addition, this note includes lessons learned, findings from independent reviews, and recommendations from past NASA HQ's procurement survey teams. It is important that technical evaluators reference the Federal Acquisition Regulation (FAR) Part 15.6 ([http://www.arnet.gov/far/current/html/subpart%2015\\_6.html#wp1104869](http://www.arnet.gov/far/current/html/subpart%2015_6.html#wp1104869)) for detailed evaluation guidance and for a list of specific evaluation factors and criteria. Moreover, technical evaluators should reference NPR 5800.1, Grant and Cooperative Agreement Handbook (<http://ec.msfc.nasa.gov/hq/grcover.htm>), for requirements in determining the appropriate funding instrument (e.g.; contract, purchase order, cooperative agreement, research grant, etc.).

For purposes of evaluating **new unsolicited proposals**, there are four (4) forms that may be applicable: LF P264, LF P317, LF P317A, and NF 1356. These forms are available in electronic format through the Langley Management System web site ([http://lms.larc.nasa.gov/forms\\_list.cfm](http://lms.larc.nasa.gov/forms_list.cfm)).

**Funding** - Once the determination has been made to fund an unsolicited proposal, the technical evaluator should submit a Purchase Requisition (PR) with certified funds to the Office of Procurement in accordance with LMS-CP-4505. For identification purposes, the PR should reference the institution and the LaRC-assigned proposal number (e.g., 04-0001), or the LaRC grant number (e.g., NNL04AA00G) or cooperative agreement number (e.g., NNL04AA00A) when providing subsequent increments of funding or when funding a budget augmentation (i.e., request for additional costs, same period). Proposed awards having periods of performance of 1 year or less, or values less than \$100,000, must be fully funded, unless otherwise authorized by the LaRC Chief Financial Officer (CFO) or Deputy CFO and the Procurement Officer. Out-years associated with multiple-year awards may be funded by separate purchase requests as funding becomes available.

**Multiple Year Awards** - NASA's policy is make maximum use of multiple year awards. A Multiple Year Grant is generally selected for a period of 3 years in keeping with NASA's policy calling for research to be peer reviewed at least every 3 years. Grants with periods of performance in excess of 3 years may be appropriate when the NASA technical office determines at the inception of the grant that a period of performance in excess of 3 years is necessary to complete a discrete research effort. However, grants that will exceed \$5 million and have a period of performance in excess of 5 years shall require the approval of the Assistant Administrator for Procurement prior to award. Requests for approval shall include a justification for exceeding 5 years and evidence that the extended years can be reasonably estimated. Requests for approval are not required when the 5-year limitation is exceeded due to a no cost extension.

**Budget Augmentations** – Augmentations occur when research is introduced that is outside the scope of the approved proposal or when there is need for substantial, unanticipated funding under an existing award. Augmentations are performed within the existing period of performance. For augmentations, the recipient is required to submit revised budget proposals along with a description of the additional research to be performed. The technical evaluator must perform a new evaluation using the LF P317 (see guidance above). The completion of new LF P317A's and LF P264's are only required when the particular augmentation results in a change to the information previously provided for the initial evaluation. A new NF 1356 is **NOT** required for augmentation proposals.

**Renewal Proposals/Requests** – A renewal provides for the continuation of research beyond the original scope, period of performance, and funding levels of an existing award. In these situations, new proposals and certifications must be submitted by the recipient, and a complete technical evaluation must be prepared prior to the execution of the follow-on award. Existing grants and cooperative agreements cannot be extended to cover the additional research; thus, renewal proposals/requests must be awarded as **NEW** awards, if accepted and funded by NASA, i.e. existing awards cannot be continued using the same grant or cooperative agreement number. Separate individual reporting requirements apply to both the old and new awards.